

**State of Hawai'i
Department of Health
Alcohol and Drug Abuse Division**

Request for Proposals

RFP Number: HTH 440-10

RFP Title:
Substance Abuse Prevention Services
(Act 40)

Contract Period: SFY 2004-2005
(State's Notice to Proceed through March 31, 2006)

Issued December 8, 2004

Submittal Deadline January 31, 2005

| <u>Sub-Category</u> | <u>Service Description</u> |
|---------------------|--|
| HTH 440-10-02 | Drug-Free Activities for School-Age Youth and Families |

NOTE: If this RFP was downloaded from the State Procurement Office RFP Website, each APPLICANT must provide contact information to the RFP contact person for this RFP to be notified of any changes. For your convenience, an RFP Interest form may be downloaded to your computer, completed, and e-mailed or mailed to the RFP contact person. The State shall not be responsible for any missing addenda, attachments or other information regarding the RFP if a proposal is submitted from an incomplete RFP.

**DEPARTMENT OF HEALTH
ALCOHOL AND DRUG ABUSE DIVISION**

**HTH 440-10-02 DRUG-FREE ACTIVITIES FOR
SCHOOL-AGE YOUTH AND FAMILIES**

The Department of Health, Alcohol and Drug Abuse Division is requesting proposals from qualified applicants statewide to help communities reduce drug and alcohol use by school-age youth with priority given to drug education and awareness in the schools and community partnerships, non-school youth activities in communities with the greatest need, education and support for families and parenting women, and community mobilization.

| | | |
|--------------------|--|--|
| I. FUNDING: | <u>TOTAL AMOUNT</u> \$2,000,000.00 | <u>FISCAL YEAR</u> Notice to Proceed (NTP) through March 31, 2006 |
|--------------------|--|--|

II. CONTRACT TERM:
Contracts will commence from the State's Notice to Proceed (NTP) and extend through March 31, 2006. Multiple contracts may be awarded under this RFP.

III. APPLICATION DEADLINE:
Proposals must be postmarked before 12:00 midnight, Hawaii Standard Time (HST), January 31, 2005, or hand delivered by 4:00 p.m., (HST), January 31, 2005, at the drop site designated on the following page.

Proposals postmarked after 12:00 midnight on January 31, 2005, or hand delivered after 4:00 p.m., HST, on January 31, 2005, **will not be accepted** for review and will be returned to the applicant.

IV. APPLICANT ORIENTATION TO THE RFP:
Date: December 16, 2004
Time: 10:00 a.m. to 12:15 p.m. (HST)
Location: Kakuhihewa Building
601 Kamokila Boulevard, Video Conference Room
Kapolei, Hawaii 96707

NOTE: Prospective applicants are welcome to attend in person at the Kapolei video conference site, or participate via video conference at one of the participating video conference sites statewide.

V. QUESTIONS:
Written questions shall be submitted to the contact person below. Written question submission must be postmarked before midnight, December 24, 2004. All written questions will receive a written response from the State that will be emailed or faxed to the Applicant's designated contact by December 24, 2004.

VI. CONTACT PERSON FOR INQUIRIES:
Virginia Jackson
Alcohol and Drug Abuse Division
601 Kamokila Boulevard, Room 360
Kapolei, Hawaii, 96707

DEPARTMENT OF HEALTH, ALCOHOL AND DRUG ABUSE DIVISION
PROPOSAL MAIL-IN AND DELIVERY INFORMATION SHEET

IMPORTANT INFORMATION

**ONE ORIGINAL AND THREE COPIES OF THE
PROPOSAL ARE REQUIRED.**

**ALL MAIL-INS MUST BE POSTMARKED BY UNITED STATES
POSTAL SERVICE (USPS) BEFORE 12:00 MIDNIGHT, (HST)
JANUARY 31, 2005.**

**ALL HAND DELIVERIES WILL BE ACCEPTED AT THE KAPOLEI
SITE UNTIL 4:00 PM, (HST) JANUARY 31, 2005.**

All Mail-ins and Hand Deliveries

Department of Health
Alcohol and Drug Abuse Division
Kamokila Boulevard, Room 360
Kapolei, Hawaii 96707

RFP COORDINATOR

Naomi Yamamoto, Secretary
Alcohol and Drug Abuse Division
Program Development Services Office
Phone: (808) 692-7517

REGARDING ADDENDA: Any addenda to the RFP will be emailed and/or faxed to the APPLICANT'S designated contact person. The APPLICANT identifies the contact person at the time the RFP packet is picked up or mailed from the ADAD office. If the RFP is downloaded from the State Procurement Office (SPO) website, each APPLICANT must notify ADAD of their interest to respond to this RFP by notifying the RFP Coordinator, Naomi Yamamoto, at (808) 692-7517 and providing their contact information. The RFP Interest Form on the SPO website may be used for this purpose.

BE ADVISED: All mail-ins postmarked by USPS after 12:00 midnight, (HST) January 31, 2005 will not be accepted for review and will be returned.

Hand deliveries will not be accepted after 4:00 p.m., (HST) January 31, 2005.

Deliveries by private mail services such as FedEx shall be considered hand deliveries and will not be accepted if received after 4:00 p.m., (HST) January 31, 2005.

STATE PROCUREMENT OFFICE (SPO)

Health and Human Service Website Reference

(Documents and Information about Planning, Procurement, and Contracting
For Health and Human Services, Pursuant to Chapter 103F, HRS)

<http://www.state.hi.us/icsd/dags/spo.html>

Click on *Health and Human Services*

This is a listing of SPO's documents and other information provided at this website.

Contact

Should you have any questions, please contact:

Mara Smith at 808.587.4704 or mara_smith@exec.state.hi.us

Application of Chapter 103F, HRS, Purchases of Health and Human Services

Chapter 103F applies to all contracts made by State Agencies to provide health and human services to Hawaii Residents.

Definition of Health and Human Services

Services to communities, families, or individuals which are intended to maintain or improve health or social well-being through methods including, but not limited to:

- a) Assessment, treatment, diagnosis, prevention, and education services provided directly to a targeted clientele; or
- b) Insurance coverage for assessment, treatment, diagnosis, prevention, and education services to be provided to a targeted clientele.

Purpose

- To improve the State's process of disbursing funds for health and human services by providing a single public procurement policy. These improvements have resulted in a standardized procurement process for both the State and private providers to use.
- To optimize information-sharing, planning and service delivery efforts. Limited resources can be used more efficiently and cost effectively, thereby allowing more time and attention on planning and delivery of services.

SPO mailing address:
State Procurement Office
1151 Punchbowl St., #230A
Honolulu, HI 96813
Fax: 808.587.4703

COMPETITIVE POS TABLE OF CONTENTS

SECTION 1 – ADMINISTRATIVE OVERVIEW

| | | |
|--------|---|-----|
| I. | Authority | 1-1 |
| II. | RFP Organization..... | 1-1 |
| III. | Contracting Office | 1-1 |
| IV. | Procurement Timetable..... | 1-2 |
| V. | Orientation | 1-2 |
| VI. | Submission of Questions | 1-2 |
| VII. | Submission of Proposals..... | 1-3 |
| VIII. | Discussions w/Applicants Prior to, or After Proposal Submittal Deadline | 1-3 |
| IX. | Additional Materials and Documentation..... | 1-4 |
| X. | RFP Amendments | 1-4 |
| XI. | Final Revised Proposals..... | 1-4 |
| XII. | Cancellation of Request for Proposal | 1-4 |
| XIII. | Costs for Proposal Preparation..... | 1-4 |
| XIV. | Provider Participation in Planning..... | 1-4 |
| XV. | Rejection of Proposals | 1-5 |
| XVI. | Opening of Proposals..... | 1-5 |
| XVII. | Notice of Award..... | 1-5 |
| XVIII. | Protests..... | 1-5 |
| XIX. | Availability of Funds | 1-6 |
| XX. | Criteria by which the Performance of the Contract will be Monitored and Evaluated..... | 1-7 |
| XXI. | General and Special Conditions of Contract..... | 1-7 |
| XXII. | Cost Principles | 1-8 |

SECTION 2 – SERVICE SPECIFICATIONS

| Sub-Category | Service Description | |
|----------------|---|-----|
| RFP: 440-10-02 | Drug-Free Activities for School-Age Youth and Families | 2-1 |
| I. | Introduction | 2-1 |
| | A. Overview, Purpose or Need | 2-1 |
| | B. Description of the Goals of the Service | 2-1 |
| | C. Description of the Target Population to Be Served..... | 2-1 |
| | D. Geographic Coverage of Service..... | 2-1 |
| | E. Probable Funding Amounts, Source, and Period of Availability | 2-1 |
| II. | General Requirements..... | 2-3 |
| | A. Specific Requirements or Qualifications | 2-3 |
| | B. Secondary Purchaser Participation..... | 2-4 |
| | C. Multiple or Alternate Proposals | 2-4 |
| | D. Single or Multiple Contracts to Be Awarded..... | 2-4 |
| | E. Single or Multi-Term Contracts to Be Awarded | 2-4 |

| | | |
|------|---|-----|
| | F. RFP Contact Person..... | 2-4 |
| III. | Scope of Work | 2-4 |
| | A. Service Activities | 2-4 |
| | B. Management Requirements..... | 2-5 |
| | 1. Personnel | 2-5 |
| | 2. Administrative..... | 2-5 |
| | 3. Quality Assurance and Evaluation Specifications | 2-6 |
| | 4. Output and Performance/Outcome Measurements | 2-6 |
| | 5. Reporting Requirements for Program and Fiscal Data | 2-7 |
| | a. Required Program Reports..... | 2-7 |
| | b. Required Fiscal Reports | 2-7 |
| | 6. Pricing or Pricing Methodology to Be Used | 2-8 |
| | 7. Units of Service and Unit Rate | 2-8 |

SECTION 3 – POS PROPOSAL APPLICATION INSTRUCTIONS

| | | |
|------|---|-----|
| I. | Background and Summary..... | 3-2 |
| II. | Experience and Capability | |
| | A. Necessary Skills..... | 3-2 |
| | B. Experience | 3-2 |
| | C. Quality Assurance and Evaluation..... | 3-2 |
| | D. Coordination of Services..... | 3-2 |
| | E. Facilities..... | 3-3 |
| III. | Project Organization and Staffing | |
| | A. Proposed Staffing | 3-3 |
| | B. Staff Qualifications..... | 3-3 |
| | C. Supervision and Training | 3-3 |
| | D. Organization Chart | 3-3 |
| IV. | Service Delivery..... | 3-3 |
| V. | Financial | |
| | A. Pricing Structure..... | 3-4 |
| | B. Other Financial Related Materials (Optional) | 3-4 |
| VI. | Other | |
| | A. Litigation | 3-5 |

SECTION 4 – PROPOSAL EVALUATION

| | | |
|-----|---|-----|
| I. | Introduction..... | 4-1 |
| II. | Evaluation Process | |
| | A. Evaluation Categories and Thresholds | 4-1 |

| | | |
|------|---|-----|
| III. | Evaluation Criteria | |
| A. | Phase 1 – Evaluation of Proposal Requirements..... | 4-2 |
| | 1. Administrative Requirements | 4-2 |
| | 2. Proposal Application Requirements | 4-2 |
| B. | Phase 2 – Evaluation of POS Proposal Application..... | 4-2 |
| | 1. Experience and Capability | 4-3 |
| | 2. Project Organization and Staffing | 4-4 |
| | 3. Service Delivery | 4-5 |
| | 4. Financial | 4-7 |
| IV. | Phase 3 – Recommendation for Award | 4-1 |

SECTION 5 – ATTACHMENTS

Attachment 1 Code of Ethical Conduct for Prevention Professionals

Section 1

Administrative Overview

Applicants are encouraged to read each section of the RFP thoroughly. While sections such as the administrative overview may appear similar among RFPs, state purchasing agencies may add additional information as applicable. It is the responsibility of the applicant to understand the requirements of *each* RFP.

I. Authority

This RFP is issued under the provisions of the Hawaii Revised Statutes, Chapter 103F and its administrative rules. All prospective applicants are charged with presumptive knowledge of all requirements of the cited authorities. Submission of a valid executed proposal by any prospective applicant shall constitute admission of such knowledge on the part of such prospective applicant.

II. RFP Organization

This RFP is organized into five sections:

Section 1, Administrative Overview--Provides applicants with an overview of the procurement process.

Section 2, Service Specifications--Provides applicants with a general description of the tasks to be performed, delineates applicant responsibilities, and defines deliverables (as applicable).

Section 3, POS Proposal Application--Describes the required format and content for the proposal application.

Section 4, Proposal Evaluation--Describes how proposals will be evaluated by the state purchasing agency.

Section 5, Attachments --Provides applicants with information and forms necessary to complete the application.

III. Contracting Office

The Contracting Office is responsible for overseeing the contract(s) resulting from this RFP, including system operations, fiscal agent operations, and monitoring and assessing provider performance. The Contracting Office is:

Alcohol and Drug Abuse Division

Department of Health, State of Hawaii
Kakuhihewa Building,
601 Kamokila Blvd., Room 360
Kapolei, Hawaii 96707
Phone: (808) 692-7517 Fax: (808) 692-7521

IV. Procurement Timetable

| Activity | Scheduled Date |
|--|---------------------------------------|
| Public notice announcing RFP | December 8, 2004 |
| Distribution of RFP | December 8, 2004 |
| RFP orientation session | December 16, 2004 |
| Closing date for submission of written questions for written responses | December 17, 2004 |
| State purchasing agency's response to applicants' written questions | December 20-24, 2004 |
| Discussions with applicant prior to proposal submittal deadline (optional) | Dec. 8, 2004 – Jan. 28, 2005 |
| Proposal submittal deadline | January 31, 2005 |
| Register of Proposals | January 31, 2005 |
| Proposal evaluation period | February – March 2005 |
| Discussions with applicant after proposal submittal deadline (optional) | Feb. 1 – Feb. 7, 2005 |
| Final revised proposals (as needed) | February 14, 2005 |
| Provider selection and award | February – March 2005 |
| Notice of Statement of Findings and Decisions to applicants | February – March 2005 |
| Protest and Request for Reconsideration (as needed) | February – March 2005 |
| Contract development | March – April 2005 |
| Contract mailed to provider for signature | April 2005 |
| Contract executed | April 2005 |
| Contract start date | May 1, 2005 or upon Notice to Proceed |

V. Orientation

A videoconferenced orientation for applicants in reference to the request for proposals will be held on December 16, from 10:00 A.M. to 12:15 P.M., at the sites listed inside the front cover of the RFP. Applicants are encouraged to submit written questions prior to the orientation. Impromptu questions will be permitted and spontaneous answers provided at the orientation at the state purchasing agency's discretion. Verbal answers provided at the orientation are only intended as general direction and may not represent the state purchasing agency's position. Formal official responses will be provided in writing. To ensure a written response, any orientation questions should be submitted in writing following the close of the orientation, but no later than 4:00 PM, H.S.T., on December 17, 2004 in order to generate a written state purchasing agency response.

VI. Submission of Questions

Applicants may submit questions to the RFP Contact Person identified in Section 2 of this RFP. The deadline for submission of written questions is 12:00 midnight H.S.T., on December 17, 2004. All written questions will receive a written response from the state purchasing agency. State purchasing agency responses to applicants' written questions will be sent by December 24, 2004.

VII. Submission of Proposals

Proposals must contain all components. Please refer to the Competitive POS Application Checklist (Section 5, Attachment A) for information on: 1) where to obtain the forms/instructions; 2) additional program specific requirements; and 3) the order in which all components of the application should be assembled and submitted to the state purchasing agency. Proposals must contain the following components:

- (1) ***POS Proposal Application (Form SPO-H-200A), including Title Page (Form SPO-H-200) and Table of Contents*** - Applicant shall submit comprehensive narratives that address all of the issues contained in the POS Proposal Application, including a cost proposal/budget. (Refer to Section 3 of this RFP.)
- (2) ***Competitive POS Application Check List*** – Provides applicants with information on where to obtain the required forms; information on program specific requirements; and the order in which all components should be assembled and submitted to the state purchasing agency.
- (3) ***Registration Form (SPO-H-100A)*** – If applicant is not pre-registered with the State Procurement Office (business status), this form must be submitted with the application. If applicant is unsure as to their pre-registration status, they may check the State Procurement Office website at:
<http://www.state.hi.us/icsd/dags/spo.html> (Click on “Health and Human Services.” Then, click on “The Registered List of Providers for Use with the Competitive Method of Procurement”) or call the State Procurement Office at 587-4706.
- (4) ***Certifications*** - Federal and/or State certifications, as applicable.
- (5) ***Program Specific Requirements*** - Additional program specific requirements are included in Sections 2 and/or 3, Service Specifications and the POS Proposal Application, as applicable.

Multiple or alternate proposals shall **not** be accepted unless specifically provided for in Section 2 of this RFP. In the event alternate proposals are **not** accepted and an applicant submits alternate proposals but clearly indicates a primary proposal, it shall be considered for award as though it were the only proposal submitted by the applicant.

One (1) original and three (3) copies of the proposal are required. Proposals must be postmarked or hand delivered by the date and time designated on the Proposal Mail-In and Delivery Information Sheet attached to this RFP. Any proposal post-marked or received after the designated date and time shall be rejected.

VIII. Discussions with Applicants Prior to, or After Proposal Submittal Deadline

Discussions may be conducted with applicants who submit proposals determined to be reasonably susceptible of being selected for award, but proposals may be accepted

without discussions, in accordance with the administrative rules.

IX. Additional Materials and Documentation

Upon request from the state purchasing agency, each applicant shall submit any additional materials and documentation reasonably required by the state purchasing agency in its evaluation of the proposals.

X. RFP Amendments

The State reserves the right to amend this RFP at any time prior to the closing date for the final revised proposals.

XI. Final Revised Proposals

The applicant's final revised proposal, *as applicable* to this RFP, must be postmarked or hand delivered by the date and time specified by the state purchasing agency. Any final revised proposal post-marked or received after the designated date and time will be rejected. If a final revised proposal is not submitted, the previous submittal will be construed as their best and final offer/proposal. *Only the section(s) of the proposal that are amended shall be submitted by the applicant, along with the POS Proposal Application Title Page (SPO-H-200).* After final revised proposals are received, final evaluations will be conducted for an award.

XII. Cancellation of Request for Proposal

The request for proposal may be canceled and any or all proposals may be rejected in whole or in part, when it is determined to be in the best interests of the State.

XIII. Costs for Proposal Preparation

Any costs incurred by applicants in preparing or submitting a proposal are the applicants' sole responsibility.

XIV. Provider Participation in Planning

Provider participation in a state purchasing agency's efforts to plan for or to purchase health and human services prior to the state purchasing agency's release of a request for proposals, including the sharing of information on community needs, best practices, and providers' resources, shall not disqualify providers from submitting proposals if conducted in accordance with sections 3-142-203 and 3-143-618 of the Hawaii Administrative Rules for Chapter 103F, HRS.

XV. Rejection of Proposals

The State reserves the right to consider as acceptable only those proposals submitted in accordance with all requirements set forth in this RFP and which demonstrate an understanding of the problems involved and comply with the service specifications. Any proposal offering any other set of terms and conditions contradictory to those included in this RFP may be rejected without further notice.

A proposal may be automatically rejected for any one or more of the following reasons: (Relevant sections of the Hawaii Administrative Rules for Chapter 103F, HRS are parenthesized).

- (1) Rejection for failure to cooperate or deal in good faith. (Section 3-141-201)
- (2) Rejection for inadequate accounting system. (Section 3-141-202)
- (3) Late proposals (Section 3-143-603)
- (4) Inadequate response to request for proposals (Section 3-143-609)
- (5) Proposal not responsive (Section 3-143-610 (1))
- (6) Applicant not responsible (Section 3-143-610 (2))

XVI. Opening of Proposals

Upon receipt of proposal by a state purchasing agency at a designated location, proposals, modifications to proposals, and withdrawals of proposals shall be date-stamped and, when possible, time-stamped. All documents so received shall be held in a secure place by the state purchasing agency and not examined for evaluation purposes until the submittal deadline.

Procurement files shall be open to public inspection after a contract has been awarded and executed by all parties.

XVII. Notice of Award

A Notice of Award containing a statement of findings and decision shall be provided to all applicants by mail upon completion of the evaluation of competitive purchase of service proposals.

XVIII. Protests

Any applicant may file a protest (using a prescribed form provided by the administrator of the State Procurement Office available on the State Procurement Office website whose

address is on the Competitive POS Application Checklist located in the Attachments section of this RFP) against the awarding of the contract as long as an original and two (2) copies of the protest is served upon the head of the state purchasing agency that conducted the protested procurement, and the procurement officer who handled the protested procurement, by United States mail, or by hand-delivery. Protests regarding awards of contracts and related matters that arise in connection with a procurement made under a competitive purchase of services shall be served within five working days of the postmark of the notice of findings and decision sent to the protester. Only the following matters may be protested:

- (1) a state purchasing agency's failure to follow procedures established by Chapter 37 of the Hawaii Revised Statutes;
- (2) a state purchasing agency's failure to follow any rule established by Chapter 37 of the Hawaii Revised Statutes; and
- (3) a state purchasing agency's failure to follow any procedure, requirement, or evaluation criterion in a request for proposals issued by the state purchasing agency.

| Head of State Purchasing Agency | Procurement Officer |
|---|---|
| Name: Chiyome Leinaala Fukino, M.D. | Name: Ann Kinningham |
| Title: Director of Health | Title: Chief, Administrative Services Office |
| Mailing Address: P.O. Box 3378, Honolulu HI 96801 | Mailing Address: P.O. Box 3378, Honolulu, HI 96801 |
| Business Address: 1250 Punchbowl St., Honolulu, HI 96813 | Business Address: 1250 Punchbowl St., Honolulu, HI 96813 |

XIX. Availability of Funds

The award of a contract and any allowed renewal or extension thereof, is subject to allotments to be made by the Director of Finance, State of Hawaii, pursuant to Chapter 103F, Hawaii Revised Statutes, and subject to the availability of State and/or Federal funds.

The Alcohol and Drug Abuse Division's services contracts shall be for a period commencing upon the State's Notice to Proceed through March 31, 2006 depending on such factors as the fiscal soundness of the APPLICANT and/or the APPLICANT's history with the Alcohol and Drug Abuse Division in providing services as specified in this RFP or similar services.

Contracts will be single-term and with the option of a no-cost extension upon mutual agreement. Option for renewal or extension shall be based on the satisfactory performance of the contracted service(s) and the availability of funds.

XX. Criteria by Which the Performance of the Contract Will be Monitored and Evaluated

The criteria by which the performance of the contract will be monitored and evaluated are:

- (1) Performance/Outcome Measures
For example, did the contractor satisfactorily meet its short-term outcomes and/or performance objectives as indicated by the quarterly/annual report and was the contractor effective in reducing risk factors or strengthening protective factors among the participants served by the program as measured by variance data in the Year-end Report?
- (2) Output Measures
For example, did the contractor satisfactorily meet its output measures, i.e., did the contractor serve the specified number of persons, conduct the required frequency of duration of the program, and fully utilize the contract funding?
- (3) Quality of Care/Quality of Services
For example, did the contractor meet established standards for the quality and delivery of services as delineated in the Scope of Services and as evaluated through the Contract Monitoring Report and the contractor's Corrective Action Plan (CAP)?
- (4) Financial Management
For example, did the contractor expend funds in accordance with the Generally Accepted Accounting Principles (GAAP) and have an adequate internal control system? Did the contractor submit the required fiscal reports and responses to any Corrective Action Plan (CAP) in a timely manner?
- (5) Administrative Requirements
For example, does the contractor have sound administrative policies and procedures as evaluated by the Policy and Procedures section of the Contract Monitoring Report?

XXI. General and Special Conditions of Contract

The general conditions that will be imposed contractually are contained in the POS Manual. Special conditions may also be imposed contractually by the state purchasing agency, as deemed necessary.

The Alcohol and Drug Abuse Division may also be required to make small or major modifications to individual contracts that it is unable to anticipate now.

XXII. Cost Principles

In order to promote uniform purchasing practices among state purchasing agencies procuring health and human services under Chapter 103F, HRS, state purchasing agencies will utilize standard cost principles outlined in Form SPO-H-201. Nothing in this section shall be construed to create an exemption from any cost principle arising under federal law.

The Alcohol and Drug Abuse Division may change the pricing structure from a fixed unit rate to cost reimbursement or from cost reimbursement to a fixed unit rate.

Section 2

Service Specifications

Substance Abuse Prevention Services for Youth

I. Introduction

A. Overview, Purpose or Need

The 2004 Hawaii State Legislature produced legislation by appropriating state general funds for substance abuse prevention. Act 40, Section 3 appropriated \$2,000,000 for fiscal year 2004-2005 for substance abuse prevention, with priority given to drug education and awareness in the schools and community partnerships, non-school youth activities in communities with the greatest need, education and support for families and parenting women, and community mobilization.

B. Description of the goals of the service

This RFP intends to provide funding to help communities reduce drug and alcohol use by youth by mobilizing local communities, filling gaps in community prevention services and implementing innovative prevention approaches. Appropriate prevention services may target one or more of the following: youth, their parents and families, schools, and communities. Services shall include ongoing (recurrent) activities or a coordinated series of activities, not “one-shot” events.

C. Description of the target population to be served

The target population for services is school-age youth and their families.

D. Geographic coverage of service

At least one service will be funded on each island.

E. Probable funding amounts, source, and period of availability

Total Funding: \$2,000,000 (for the period Notice to Proceed to
03/31/2006 *)

*Funding is contingent upon the availability of State general funds.

Approximately \$2,000,000 is available in 2004-2005. APPLICANTS should have a plan describing how services will be sustained beyond the funding period.

While no specific funding amounts have been predetermined, the State anticipates award amounts to be approximately \$5,000 to \$100,000 per site.

Funds may not be used for major capital improvements or other costs listed as unallowable in Chapter 103F, HRS, Cost Principles for Purchases of Health and Human Services identified in SPO-H-201 (Effective 10/1/98), which can be found on the State Procurement Office (SPO) website. (See Section 5, POS Proposal Checklist for the website address).

Eligible applicants may include state and county governmental agencies, for-profit organizations, businesses, media, schools, youth-serving organizations, law enforcement agencies, faith-based organizations, fraternal organizations, civic and volunteer groups, health care centers, cultural groups, and other organizations involved in reducing or treating substance abuse in the community.

NOTE:

1. ADAD reserves the right to reallocate the above amounts to other funded organizations if, at any time after three (3) months into each fiscal year, there is either a monthly pattern of poor or low performance, or underutilization of funds such that it appears the provider will not be able to expend all allocated funds by the end of each fiscal year.
2. A maximum of \$25,000 may be advanced for start-up costs for new programs, upon completion of an executed contract.
3. If an APPLICANT materially fails to comply with the terms and conditions of the contract, ADAD may, as appropriate under the circumstances:
 - a. Temporarily withhold payments pending correction of a deficiency or a non-submission of a report by the APPLICANT.
 - b. Disallow all or part of the invoice submitted by the APPLICANT.
 - c. Suspend or terminate the contract.

4. The APPLICANT can submit to ADAD proposals for requested contract amendments or any changes affecting the scope of services, target population, time of performance, and total funds, but this must be approved in writing before changes can be made. Proposals shall be submitted no later than four (4) months prior to the end of each contract year, unless prior approval is given by ADAD.
5. In the event that additional funds become available for similar services, the DEPARTMENT reserves the right to increase funding amounts.

II. General Requirements

A. Specific requirements or qualifications, including but not limited to licensure or accreditation

1. If awarded the contract, the APPLICANT shall:
 - a. Arrange for a financial and compliance audit to be done and submitted to the Department as directed in accordance with "Government OMB Circular A-133" if the APPLICANT expends \$500,000 or more in federal funds in a year.
 - b. Provide their most recent Financial Audit when total agency funding, whether for more or less than \$300,000, is from multiple funding sources, whether or not such funds equal or exceed \$300,000.
 - c. Comply with Chapter 103F, HRS, Cost Principles for Purchases of Health and Human Services identified in SPO-H-201 (Effective 10/1/98), which can be found on the State Procurement Office (SPO) website. (See Section 5, POS Proposal Checklist for the website address).
 - d. Reconcile the amount of an advanced payment by month five of the first year of the contract should such an advancement occur.
 - e. Refund to the STATE any funds unexpended or expended inappropriately.

B. Secondary Purchaser participation

1. ADAD does not plan to have any Secondary Purchases in conjunction with this RFP.
2. ADAD will allow after-the-fact Secondary Purchases.

C. Multiple or alternate proposals

☐ Allowed ☒ Unallowed

D. Single or multiple contracts to be awarded

☐ Single ☒ Multiple ☐ Single & Multiple

Each recipient of funding under this RFP will be awarded a separate contract.

E. Single or multi-term contracts to be awarded

☒ Single term (< 2 yrs.) ☐ Multi-term (>2 yrs.)

The initial period shall commence on the State's Notice to Proceed and end no later than March 31, 2006. An option to extend for an additional one-year period is dependant upon the availability of funding.

F. RFP contact person

The individual listed below is the sole point of contact from the date of release of this RFP until the selection of the winning provider or providers. Written questions should be submitted to the RFP contact person and received on or before the day and time specified in Section I, Item IV (Procurement Timetable) of this RFP. **Contact Persons:** Virginia Jackson or Alan Yamamoto @ (808) 692-7517.

III. Scope of Work

The scope of work encompasses the following tasks and responsibilities:

A. Service Activities (Minimum and/or mandatory tasks and responsibilities)

Appropriate prevention services for school-age youth and/or their families shall give priority to drug education and awareness, non-school youth activities, education and support for families and parenting women, or community mobilization.

Appropriate prevention services shall strengthen the community's network of prevention services to combat substance abuse among school-age youth and target one or more of the following: youth, their parents and families, schools, and communities. Services and programs may be provided in schools or during non-school hours.

APPLICANTS shall also agree to participate in process and outcome evaluations as specified by ADAD. Please see B.4. below.

NOTE: APPLICANTS should also examine **Section 4, Proposal Evaluation** of this RFP which provides information on points to be addressed in the proposal and which will be taken into consideration by proposal evaluators.

B. Management Requirements (Minimum and/or mandatory tasks and responsibilities)

1. Personnel

The APPLICANT shall:

- Conduct a fingerprint check for any person who is employed or volunteers in an administrative or program position, which necessitates close proximity to school-age youth.
- Possess and document knowledge, capacity, skills and at least one-year of experience in coordinating, planning, and organizing age-appropriate services for with school-age youth or their families.
- Abide by the Code of Ethical Conduct for Prevention Professions as created by the Prevention Think Tank™ (Section 5, Attachments of this RFP). A signed copy shall be placed in the personnel file of each staff member who provides services funded through this RFP.
- Maintain documentation for each employee of an initial tuberculosis skin test or chest X-ray.
- Implement a no-smoking policy.

2. Administrative

The APPLICANT is required to develop and implement a written safety plan which includes policies and procedures for handling

personal injury, threats, emergencies, or disasters and which includes the posting of evacuation routes in facilities used by the program..

The APPLICANT shall develop and maintain fiscal, statistical, and administrative records pertaining to the services.

3. Quality assurance and evaluation specifications

The APPLICANT shall reflect in its program evaluation documentation of the achievement of stated goals and the use of measurement tools.

4. Output and performance/outcome measurements

ADAD will be using an outcome-based framework for the solicitation, selection, award, monitoring, and reporting of results through this RFP. The outcome-based framework focuses on specific changes to be achieved by participation in the prevention services provided. The APPLICANT shall track and report progress toward these performance targets to ADAD through a standard outcome reporting format and review with ADAD results and any necessary course of corrections.

Within this outcome-based framework, the APPLICANT shall:

- a. State the problem to be addressed by the proposed service.
- b. State measureable outcomes.
- c. Administer a pre- and post-test to measure information and skills gained through participation in the prevention activity.

| DESIRED OUTCOME/DOMAIN | PERFORMANCE MEASURE |
|--------------------------------------|--|
| Abstinence from Drug and Alcohol Use | 30-day substance use (non-use/reduction in use) Perception of drug use as harmful Attitude toward use (Perception of drug use as unacceptable) |
| Returning to/Staying in School | School attendance ATOD-related suspensions/expulsions |

| | |
|---|--|
| | Drug-related workplace injuries |
| Decreased Criminal Justice Involvement | Drug-related crime |
| Increased Stability in Family and Living Conditions | Parent participation in prevention activities |
| Increased Access to Services (Service Capacity) | Number of persons served by age, gender, race, and ethnicity |

5. Reporting requirements for program and fiscal data

a. Required Program Reports:

- 3) 1) The APPLICANT shall submit to ADAD a narrative **monthly report** documenting progress in service delivery, the number of school-age youth and families served, and expenditures. The Applicant shall submit **Monthly and Year End Reports** summarizing and analyzing outcome data and accomplishments and challenges. Monthly reports are due 15 days after the end of each month. Year-End Reports are due 45 days after the end of each fiscal year.

b. Required Fiscal Reports:

- 1) The Applicant shall submit monthly the **Statement of Revenue and Expenditures Report** (ADAD Fiscal Form 200, 9/95).
- 2) The Applicant shall submit to ADAD its **final invoice** no later than 45 days after the end of each contract year, or by August 15, whichever comes first. Lapsing of funds will occur if final invoices are not received by ADAD in a timely manner.
- 3) Within 45 calendar days after the expiration of each contract year, the APPLICANT shall submit to ADAD the **Statement of Revenue and Expenditures** summarizing the actual expenditures for the fiscal year and the **Year-End Program Report** which includes people served and activities.

6. Pricing or pricing methodology to be used

The method of pricing shall be reimbursement of actual expenditures.

7. Units of service and unit rate

Not applicable.

IV. Facilities

The APPLICANT shall provide a description of the facilities to be used and demonstrate their adequacy in relation to the proposed services. If facilities are not presently available, describe plans to secure facilities. Also describe how the facilities meet ADA requirements, as applicable, and special equipment that may be required for the services.

Section 3

POS Proposal Application

For HTH 440-10-01

General instructions for completing applications:

- *POS Proposal Applications shall be submitted to the state purchasing agency using the prescribed format outlined in this section. Applicant's attention is drawn to the following format requirements:*
- *Do not exceed specified page limits. Attachments are not included within the page limitations.*
 - *Use 1" margins.*
 - *Use a 12 point font.*
 - *Single space pages.*
- *The numerical outline for the application, the titles/subtitles, and the APPLICANT organization and RFP identification information on the top right hand corner of each page should be retained. The instructions for each section however may be omitted.*
- *Page numbering of the POS Proposal Application should be consecutive, beginning with page one and continuing through the complete proposal.*
- *Proposals may be submitted in a three ring binder (Optional).*
- *Tabbing of sections (Recommended).*
- *APPLICANTS must also include a Table of Contents with the POS Proposal Application. A sample format is reflected in Section 5, Attachment B of this RFP.*
- *A written response is required for **each** item unless indicated otherwise. Failure to answer any of the items will impact upon an APPLICANT'S score.*
- *APPLICANTS are encouraged to take Section 4, Proposal Evaluation, into consideration when completing the proposal.*
- *This form (SPO-H-2004) is available on the SPO website. The address of the SPO website is shown in Section 1 of this RFP on the page immediately preceding the Table of Contents. If using the website form, the APPLICANT must include the items listed in this section.*

The POS Proposal Application comprises the following sections:

- *Title Page*
- *Table of Contents*
- *Background and Summary*
- *Experience and Capability*
- *Personnel: Project Organization and Staffing*
- *Service Delivery*
- *Financial*
- *Other*

1. Background and Summary (Do not exceed 1 page.)

This section shall clearly and concisely summarize and highlight the contents of the proposal in such a way as to provide the State with a broad understanding of the entire proposal. Include a brief description of the APPLICANT'S organization, the goals and objectives related to the service activity, and how the proposed service is designed to meet the problem/need identified in the service specifications.

Include in this section:

A description of the service to be provided.

Why the service is needed.

A description of the population who will be served.

Who is implement the prevention service.

When and where the service will be provided.

A statement of the outcomes to be achieved.

II. Experience and Capability (Do not exceed 3 pages.)

A. Necessary Skills

The APPLICANT shall demonstrate that it has the necessary skills, abilities, and knowledge relating to the delivery of the proposed services.

B. Experience

The APPLICANT shall provide a description of projects or contracts pertinent to the proposed services.

C. Quality Assurance and Evaluation

The APPLICANT shall describe its quality assurance and evaluation plans for the proposed services, including methodology.

D. Coordination of Services

This section seeks information about how and/or if the APPLICANT will coordinate services with State and County agencies, organizations, and other resources in the community.

E. Facilities

The APPLICANT shall provide a description of the facilities to be used and demonstrate their adequacy in relation to the proposed services. If facilities are not presently available, describe plans to secure facilities. Also describe how the facilities meet ADA requirements, as applicable, and special equipment that may be required for the services.

III. Project Organization and Staffing (2 pages maximum)

A. Proposed Staffing

The APPLICANT shall describe the proposed staffing pattern, client/staff ratio, and anticipated caseload capacity appropriate for each service to be delivered. On the Staffing Position Chart (Section 5, Attachment C-2 of this RFP), please list all staff who will be responsible for providing each service, including contract oversight functions and direct services to youth or parents. Include the number and full-time equivalent of staff and the name of the organization that will employ them.

B. Staff Qualifications

The APPLICANT shall provide the minimum qualifications (including experience) for staff assigned to implementing the service(s).

Provide as an attachment to the proposal, the resumes of key staff listed in III.A. above and the job descriptions of all staff who will be providing services.

C. Supervision and Training

The APPLICANT shall describe its ability to supervise, train and provide administrative direction relative to the delivery of the proposed services.

D. Organization Chart

The APPLICANT shall reflect the position of each staff and line of responsibility/supervision. (Include position title, name and full time equivalency). Both the "Organization-wide" and "Program" organization charts shall be attached to the Proposal Application.

IV. Service Delivery (Do not exceed 5 pages.)

The Service Delivery Section shall include a detailed discussion of the APPLICANT'S approach to applicable service activities and management requirements from Section 2, Item III. - Scope of Work, including (as indicated) a work plan of all service activities and tasks to be completed, related work assignments/responsibilities and timelines /schedules. The APPLICANT shall describe how the program will be sustained if ADAD funding is reduced or ceases to exist.

V. Financial

A. Pricing Structure

The APPLICANT shall submit a cost proposal utilizing the pricing structure designated by the state purchasing agency. The cost proposal shall be attached to the POS Proposal Application.

Pricing structure for this RFP shall be based on cost reimbursement.

The cost reimbursement pricing structure reflects a purchase arrangement in which the State pays the contractor for budgeted costs that are actually incurred in delivering the services specified in the contract, up to a stated maximum obligation.

Only the following budget form(s), which are available on the State Procurement Office website shall be submitted with the POS Proposal Application:

1. Form SPO-H205 Budget
2. Form SPO-H205B Organization - Wide Budget By Programs
3. Form SPO-H206A Personnel - Salaries and Wages
4. Form SPO-H206B Personnel - Payroll Taxes, Assessments, and Fringe
5. Form SPO-H206C Travel - Inter-island
6. Form SPO-H206E Contractual Services - Administrative
7. Form SPO-H206F Contractual Services - Subcontracts
8. Form SPO-H206H Program Activities
9. Form SPO-H206I Equipment Purchases
10. Form SPO-H206J Motor Vehicle

The APPLICANT shall describe how the program will be sustained if ADAD funding is reduced or ceases to exist.

B. Other Financial Related Materials

In order to determine the adequacy of the APPLICANT'S accounting system as described under the administrative rules, the following documents are requested as part for the POS Proposal Application (shall be attached):

1. Latest Single Audit Report of Financial Audit.
2. Cost Allocation Plan, which provides an explanation of how cost is allocated to various sources of funding.

VI. Other

A. Litigation

The Applicant shall disclose and explain any pending litigation to which they are a party, including the disclosure of any outstanding judgments.

Section 4

Proposal Evaluation

I. Introduction

The evaluation of proposals received in response to the RFP will be conducted comprehensively, fairly and impartially. Structural, quantitative scoring techniques will be utilized to maximize the objectivity of the evaluation.

II. Evaluation Process

The procurement officer or an evaluation committee of designated reviewers selected by the head of the state purchasing agency or procurement officer shall review and evaluate proposals. When an evaluation committee is utilized, the committee will be comprised of individuals with experience in, knowledge of, and program responsibility for program service and financing.

The evaluation will be conducted in three phases as follows:

- Phase 1 - Evaluation of Proposal Requirements
- Phase 2 - Evaluation of POS Proposal Application
- Phase 3 - Recommendation for Award

A. Evaluation Categories and Threshold

| <u>EVALUATION CATEGORIES</u> | <u>POSSIBLE POINTS</u> |
|-------------------------------------|-------------------------------|
| Administrative Requirements | |
| Proposal Application | 100 Points |
| <u>Background and Summary</u> | 0 Points |
| <u>Program Overview:</u> | |
| Experience and Capability | 20 Points |
| Project Organization and Staffing | 15 Points |
| Service Delivery | 55 Points |
| Financial | 10 Points |

The following additional criteria shall be used to determine the funding allocations:

- The interest of the State in having prevention services on each island.
- The interest of the State to develop prevention services for school-age youth and parent involvement.

III. Evaluation Criteria

A. Phase 1 - Evaluation of Proposal Requirements

(1) *Administrative Requirements*

The Checklist and Table of Contents are not a basis for rejection if missing, however it is encouraged that the APPLICANT use these tools for assuring completeness of the proposal and easing navigation through the document. Other Administrative Requirements may include registration (if the APPLICANT is not pre-registered with the State Procurement Office), Assurances and Certifications, and tax clearance certificate. (A new tax clearance certificate may be required when a contract is awarded).

(2) *Mandatory POS Proposal Application Requirements*

- POS Application Title Page (Form SPO-H-200)
- Table of Contents
- Program Overview
 - Experience and Capability
 - Project Organization and Staffing
 - Service Delivery
 - Financial (All required forms and documents)
 - Program Specific Requirements (as applicable)

B. Phase 2 - Evaluation of POS Proposal Application (100 Points)

Program Overview: No points are assigned to Program Overview. The intent is to give the APPLICANT an opportunity to orient evaluators as to the service(s) being offered.

An explanation of the scoring procedure is given below:

SCORING PROCEDURE: For each of the categories, evaluators will read the corresponding section in the APPLICANT'S proposal. They will check "Yes" or "No" on the Rating Sheet to indicate whether the proposal meets the criteria specified in Sections 2 and 3 of the RFP. An appropriate numerical rating will be given for each category as follows:

If the proposal addresses all the required elements for a category as specified in the criteria on the Rating Sheet, at least a satisfactory rating of 3 will be given for that category. If the proposal does not address all of the specified elements a less than satisfactory (<3) rating will be given. A rating of zero (0) will be awarded for any category that is not addressed in any way.

If the proposal addresses all of the elements in a logical, comprehensive, detailed manner, a rating above satisfactory (>3) may be awarded.

Any ratings above or below satisfactory (3) will be explained. Comments are optional if the rating is satisfactory (3).

The evaluation panel will rate each category on a scale of 0 through 5 and convert that rating to a point score. For example, a satisfactory score for a category is calculated by dividing the maximum number of points for that category by 5 (the highest rating possible) and then

multiplying that number by 3 (the rating for “satisfactory”). Each category below gives the maximum point score and the satisfactory point score. Ratings will be the consensus of the evaluation panel.

(1) *Experience and Capability (20 Points)*

The State will evaluate the APPLICANT’S experience and capability relevant to the proposed service(s), which shall include the degree to which the APPLICANT describes in detail:

A. Necessary Skills (Maximum = 3 Points; Satisfactory for the category = 1.8)

- The APPLICANT has identified specific service gaps to be filled by the proposed service(s).
- The APPLICANT has demonstrated skills, abilities, knowledge of, and experience relating to the delivery of the proposed services.

B. Experience (Maximum = 4 Points; Satisfactory for the category =2.4 points)

- The APPLICANT has at least one year experience working with school age youth and/or parents of school-age youth.
- The APPLICANT has provided resumes of key staff that include a listing of experience with related or similar projects. The resumes shall include references.

C. Quality Assurance and Evaluation (Maximum =3 Points; Satisfactory for the category = 1.8 points)

The APPLICANT has described adequate approaches for:

- Outcome evaluation.
- Measuring the outcomes of the services that they provide by conducting pre- and post-participation surveys using the GPRA instrument and other means to assess changes in participants’ knowledge, beliefs, behaviors, or other outcomes.
- If the APPLICANT has no previous or current capacity to evaluate the services or conduct pre- and post-participation surveys to demonstrate effectiveness of the proposed services, the APPLICANT shall describe a plan for providing staff with relevant training and support for evaluating the proposed services.

D. Coordination of Services (Maximum = 9 Points; Satisfactory for the category = 5.4 points)

- The APPLICANT has described how the requested funding will be

used to help communities reduce drug and alcohol use by youth by mobilizing local communities, filling gaps in community prevention services and/or piloting innovative prevention approaches.

- The proposed prevention services target one or more of the following: youth, their parents and families, schools, and communities.
- The APPLICANT has clearly described procedures for working together with other service providers in the community to implement prevention activities.

E. Facilities (Maximum = 1 point; Satisfactory for the Category = 0.6 points)

- Facilities that will be used are clearly described and are appropriate to the proposed services.
- The proposal describes how the facilities meet ADA requirements, as applicable, and special equipment that may be required for the services.

(2) ***Project Organization and Staffing (15 points) (Maximum = 15 points; Satisfactory for the category = 9 points)***

The State will evaluate the APPLICANT'S overall staffing approach to the service, including staffing patterns, participant/staff ratio, and proposed program participant capacity, as to its reasonableness to insure the viability of the service:

- Organization charts are provided for the APPLICANT'S proposed project, including organization charts for any partnerships delivering services.
- A rationale for the proposed staffing pattern is provided.
- Job descriptions and minimum qualifications of all staff are presented.
- Resumes of identified staff are provided. References can verify work experience and capabilities.

(3) ***Service Delivery (55 Points) (Maximum points = 55; Satisfactory for the category = 33 points)***

- The APPLICANT'S proposal has stated clearly that the reduction of youth substance abuse is a principal purpose of the proposed service(s) or program(s).

- The proposed service will strengthen the community's network of prevention services to combat substance abuse among school-age youth.
- The proposed service targets one or more of the following: youth, their parents and families, schools, and/or communities.
- The proposed service will give priority to the following activities: drug education and awareness in schools or community partnerships, non-school youth activities in communities with greatest need, education and support for families and parenting women, and community mobilization.
- Based on the epidemiological data collected and reviewed, the proposal describes community demographics, youth substance use and abuse, risk and protective factors, resources, and gaps in services.
- The APPLICANT has described the community's strengths and concerns and its most pressing prevention needs and service gaps.
- The APPLICANT has described existing and/or potential substance abuse prevention resources in the community, including who is providing prevention services or related youth services in the community.
- The APPLICANT has described how the APPLICANT will work with school-age youth who will benefit from the prevention services and the individuals and institutions in the community that can provide and support prevention services, including those listed in Section 2 of the RFP.
- The proposal describes the proposed eligibility criteria for prevention services, strategies for recruiting participants from the target population, and how it will ensure the ongoing involvement of targeted populations.
- The APPLICANT describes how the proposed prevention program/service will be implemented, including the following:
 - The prevention programs or approaches that will be used are listed and a rationale for using these programs/services is given.
 - Implementation issues for each program. (Acquiring materials, staff training, other special requirements) have been described.

- A description of how culturally competent adaptations will be made without sacrificing the core elements of the program.
 - How programs/services will be evaluated for effectiveness.
 - The preliminary outcomes that are expected as the result of prevention actions and strategies.
 - How effective programs/activities will be sustained and how those that fail will be improved or replaced.
- The proposal has described an approach for establishing outcome measures and the use of pre- and post-activity surveys to measure behavioral or attitudinal changes.
 - The APPLICANT has described how the issue of sustainability will be addressed throughout each step of planning and implementation. The APPLICANT has detailed a plan for sustaining the program if ADAD funding is reduced or ceases to exist.
 - The APPLICANT has included a work plan which includes a timeline presenting a logical sequence of essential tasks to be completed and key milestones to be achieved in planning, implementing, and managing the proposed prevention activities. The work plan includes the names or titles of persons responsible for accomplishing tasks.
 - The proposal describes how culturally competent adaptations might be made without sacrificing the core elements of the program.
 - The proposal describes how the APPLICANT will assess program effectiveness, ensure service delivery quality, identify successes, encourage needed improvement, and promote sustainability of effective policies, programs, and practices.
 - The APPLICANT ensures the timely submission of performance data to ADAD on a regular basis, as described in Section 2, III. Scope of Work, B.4.
- (4) **Financial (10 Points)** (Maximum = 10 points; Satisfactory for the category = 6 points)

Pricing structure based on cost reimbursement:

- Personnel costs are reasonable and comparable to the positions in the community.
- Non-personnel costs are reasonable and adequately justified.
- The budget supports the scope of service and requirements of the Request for Proposal.
- Proposed program expenses are realistic and well justified.
- The proposed program has sufficient revenues within its budget to deliver appropriate services.
- The cost allocation worksheet submitted, including the explanation of how costs are allocated to various programs, is reasonable.
- Adequacy of accounting system.

IV. Phase 3 - Recommendation for Award

Each notice of award shall contain a statement of findings and decision for the award or non-award of the contract to each applicant.

SECTION 5:

ATTACHMENTS

Code of Ethical Conduct for Prevention Professionals

Preamble

The Principles of Ethics are a model of standards of exemplary professional conduct. These principles of the Code of Prevention Think Tank Ethical Conduct express the professional's recognition of his/her responsibilities to the public, to service recipients, and to colleagues. They guide members in the performance of their professional responsibilities and express the basic tenets of ethical and professional conduct. The Principles call for commitment to honorable behavior, even at the sacrifice of personal advantage. These Principles should not be regarded as limitations or restrictions, but as goals toward which Prevention Professionals should constantly strive. They are guided by core values and competencies that have emerged with the development of the field.

Principles

I. Non-Discrimination

Prevention Professional shall not discriminate against service recipients or colleagues based on race, religion, national origin, sex, age, sexual orientation, economic condition, or physical, medical, or mental disability. Prevention Professional should broaden their understanding and acceptance of cultural and individual differences, and in so doing, render services and provide information sensitive to those differences.

II. Competence

A Prevention Professional shall observe the professional's technical and ethical standards, strive continually to improve personal competence and quality of service delivery, and discharge professional responsibility to the best of his or her ability. Competence is derived from a synthesis of education and experience. It begins with the mastery of a body of knowledge and skill competencies. The maintenance of competence requires a commitment to learning and professional improvement that must continue throughout the professional's life.

- a. Professionals should be diligent in discharging responsibilities. Diligence imposes the responsibility to render services carefully and promptly, to be thorough, and to observe applicable technical and ethical standards.
- b. Due care requires a professional to plan and supervise adequately and evaluate, to the extent possible, any professional activity for which they are responsible.
- c. Prevention Professional should recognize limitations and boundaries of competencies and not use techniques or offer services outside of their competencies. Professionals are responsible for assessing the adequacy of their own competence for the responsibility to be assumed.
- d. Ideally, Certified Prevention Professionals should supervise Prevention Professionals. When this is not available, Prevention Professionals should seek peer supervision or mentoring from other competent Prevention Professionals.
- e. When a Prevention Professional have knowledge of unethical conduct or practice on the part of an agency or prevention professional, he or she has an ethical responsibility to report the conduct or practices to appropriate funding or regulatory bodies or to the public.
- f. Prevention Professionals should recognize the effect of impairment on professional performance and should be willing to seek appropriate treatment for themselves.

III. Integrity

To maintain and broaden public confidence, Prevention Professionals should perform all professional responsibilities with the highest sense of integrity. Personal gain and advantage should not subordinate service and the public trust. Integrity can accommodate the inadvertent error and the honest difference of opinion. It *cannot* accommodate deceit or subordination of principle.

- a. Present all information accurately and fairly. Each professional should document and assign credit to all contributing sources used in published material or public statements.
- b. Prevention Professionals should not misrepresent either directly or by implication professional qualifications or affiliations.
- c. Where there is evidence of impairment in a colleague or a service recipient, a Prevention Professional should be supportive of assistance or treatment.
- d. A Prevention Professional should not be associated directly or indirectly with any service, products, individuals, and organization in a way that is misleading.

IV. Nature of Services

Practices shall do no harm to service recipients. Services provided by Prevention Professionals shall be respectful and non-exploitive.

- a. Services should be provided in a way that preserves the protective factors inherent in each culture and individuals.
- b. Prevention Professionals should use formal and informal structures to receive and incorporate input from service recipients in the development, implementation, and evaluation of prevention services.
- c. Where there is suspicion of abuse of children or vulnerable adults, the Prevention Professional shall report the evidence to the appropriate agency and follow-up to ensure that appropriate action has been taken.

V. Confidentiality

Confidential information acquired during service delivery shall be safeguarded from disclosure, including---but not limited to---verbal disclosure, unsecured maintenance of records, or recording of an activity or presentation without appropriate releases. Prevention Professionals are responsible for knowing the confidentiality regulations relevant to their prevention specialty.

VI. Ethical Obligations for Community and Society

According to their consciences, Prevention Professionals should be proactive on public policy, and legislative issues. The public welfare and the individual's right to services and personal wellness should guide the efforts of Prevention Professionals to educate the general public and policy makers. Prevention Professionals should adopt a personal and professional stance that promotes health.

I have read and understand the Prevention Think Tank Code of Ethical Conduct. I will to the best of my ability adhere to and honor this Code in my professional and personal dealings.

Date

Signature

Proposal Application Checklist

Applicant: _____ RFP No. _____

The applicant's proposal must contain the following components in the order shown below. This checklist must be signed, dated and returned to the state purchasing agency as part of the Proposal Application. *SPO-H forms are located on the web at <http://www.spo.hawaii.gov> Click *Procurement of Health and Human Services and For Private Providers*.*

| Item | Reference in RFP | Format/Instructions Provided | Required by Purchasing Agency | Completed by Applicant |
|--|------------------|---|---|------------------------|
| General: | | | | |
| Proposal Application Identification Form (SPO-H-200) | Section 1, RFP | SPO Website* | X | |
| Title Page (Form SPO-H-200) | Section 1, RFP | | X | |
| Table of Contents | Section 1, RFP | | X | |
| Proposal Application Checklist | Section 1, RFP | | X | |
| Proposal Application (SPO-H-200A) | Section 3, RFP | SPO Website* | X | |
| Registration Form (SPO-H-100A) | Section 1, RFP | SPO Website* | (Required if not Registered) | |
| Tax Clearance Certificate (Form A-6) | Section 1, RFP | Dept. of Taxation Website (Link on SPO website)* | (Required ONLY upon notification of award) | |
| Cost Proposal (Budget) | | | | |
| SPO-H-205 | Section 3, RFP | SPO Website* | X | |
| SPO-H-205A | Section 3, RFP | SPO Website* Special Instructions is applicable, Section 5 | No | |
| SPO-H-205B | Section 3, RFP, | SPO Website* Special Instructions, Section 5 | X | |
| SPO-H-206A | Section 3, RFP | SPO Website* | X | |
| SPO-H-206B | Section 3, RFP | SPO Website* | X | |
| SPO-H-206C | Section 3, RFP | SPO Website* | X | |
| SPO-H-206D | Section 3, RFP | SPO Website* | No | |
| SPO-H-206E | Section 3, RFP | SPO Website* | X | |
| SPO-H-206F | Section 3, RFP | SPO Website* | X | |
| SPO-H-206G | Section 3, RFP | SPO Website* | Not Allowed | |
| SPO-H-206H | Section 3, RFP | SPO Website* | X | |
| SPO-H-206I | Section 3, RFP | SPO Website* | X | |
| SPO-H-206J | Section 3, RFP | SPO Website* | X | |
| Single Audit Report of Financial Audit | Section 3, RFP | | X | |
| Cost Allocation Plan | Section 3, RFP | | X | |
| Certifications | | | N/A | |
| Program Specific Requirements | | | N/A | |
| Code of Ethical Conduct | Section 5, RFP | | X | |

Applicant's Signature

Date